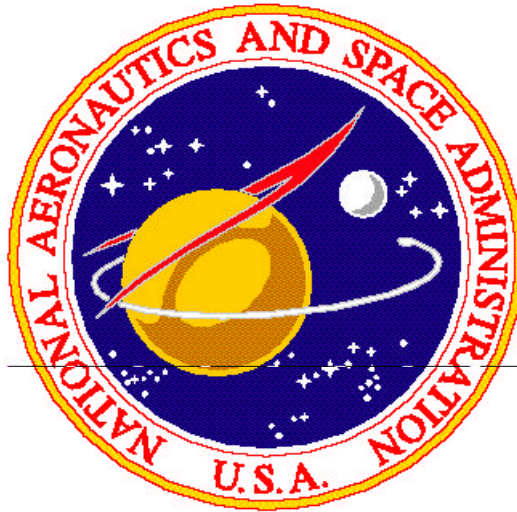


Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process



Chief Engineer

Office Work Instruction

Lead & Manage PAPAC Process

Original Approved by: Dr. Daniel R. Mulville, Chief Engineer

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/10/99	

Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

1.0 Purpose

The purpose of this procedure is to document the process used by the Office of the Chief Engineer (Code AE) to lead and manage the Provide Aerospace Products and Capabilities (PAPAC) crosscutting process, as described in NPG 1000.2.

2.0 Scope and Applicability

2.1 Scope

The process used by Code AE to lead and manage the PAPAC crosscutting process is documented in this OWI. Separate flowcharts are provided for the sub-processes implemented within Code AE. The activities Code AE performs to lead and manage the PAPAC process are to update the PAPAC strategic goals & objectives, revise the PAPAC policy and guidelines (NPD and NPG), develop performance targets for the NASA Performance Plan and report performance against the targets. Code AE also manages PMC meetings for evaluation: IAs, NARs, and IARs, and PMC meetings for quarterly status review. In addition, Code AE is responsible for reviewing all PCAs for recommendation for the Administrator's signature.

2.2 Applicability

This OWI applies to Code AE.

3.0 Definitions

- 3.1 AA. Associate Administrator
- 3.2 CIC. Capital Investment Council
- 3.3 Deputy AE. Deputy Director of Code AE
- 3.4 IA. Independent Assessment
- 3.5 IAR. Independent Annual Review
- 3.6 IPAO. Independent Program Assessment Office
- 3.7 NAR. Non-Advocate Review
- 3.8 NODIS. NASA On-line Directives Information System
- 3.9 NPD. NASA Policy Directive
- 3.10 NPG. NASA Procedures & Guidelines
- 3.11 PAPAC. Provide Aerospace Products and Capabilities; One of the four NASA Cross-Cutting Processes
- 3.12 PCA. Program Commitment Agreement – signed contract between the Administrator and an Associate Administrator to provide specified goods or services in a given time with specified resources
- 3.13 PCC. Program Cost Commitment

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- 3.14 PMC. Program Management Council
- 3.15 PMCWG. Program Management Council Working Group
- 3.16 PRC. Program Review Center
- 3.17 Purple Package. Code A Review Package (as defined in NHB 1450.10b)
- 3.18 QSR. Quarterly Status Review
- 3.19 SMC. Senior Management Council

4.0 References

NPD 1000.1 NASA Strategic Plan

NPG 1000.2 NASA Strategic Management Handbook

NHB 1450.10b NASA Concurrence Package

NPD 7120.4 NASA Policy Directive for Program/Project Management

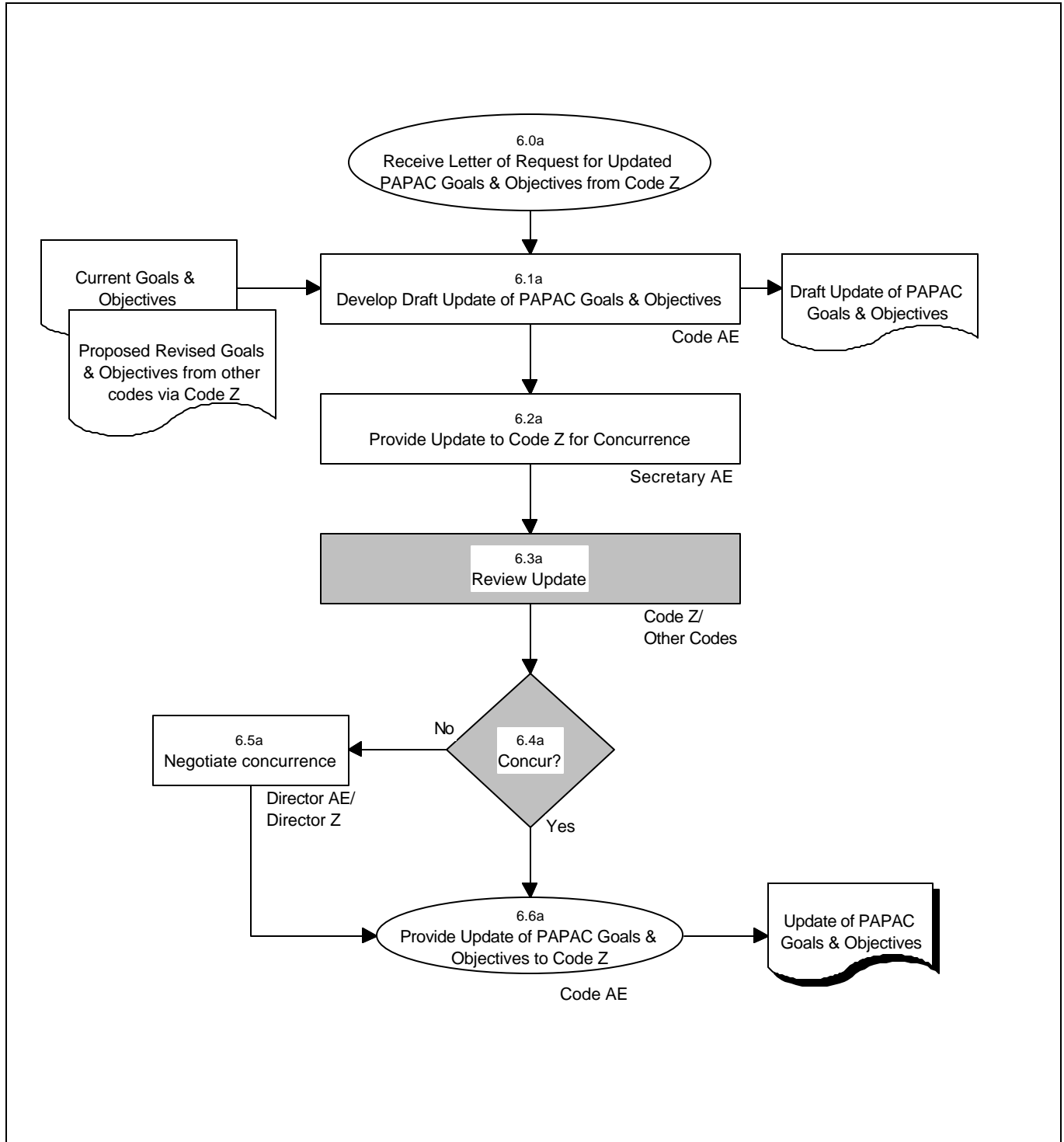
NPG 7120.5 NASA Procedures and Guidelines for Program/Project Management

The correct version of the NPD and NPG documents cited above may be obtained from the NODIS Directives Library at <<http://nodis.hq.nasa.gov/Library/processes.html>>

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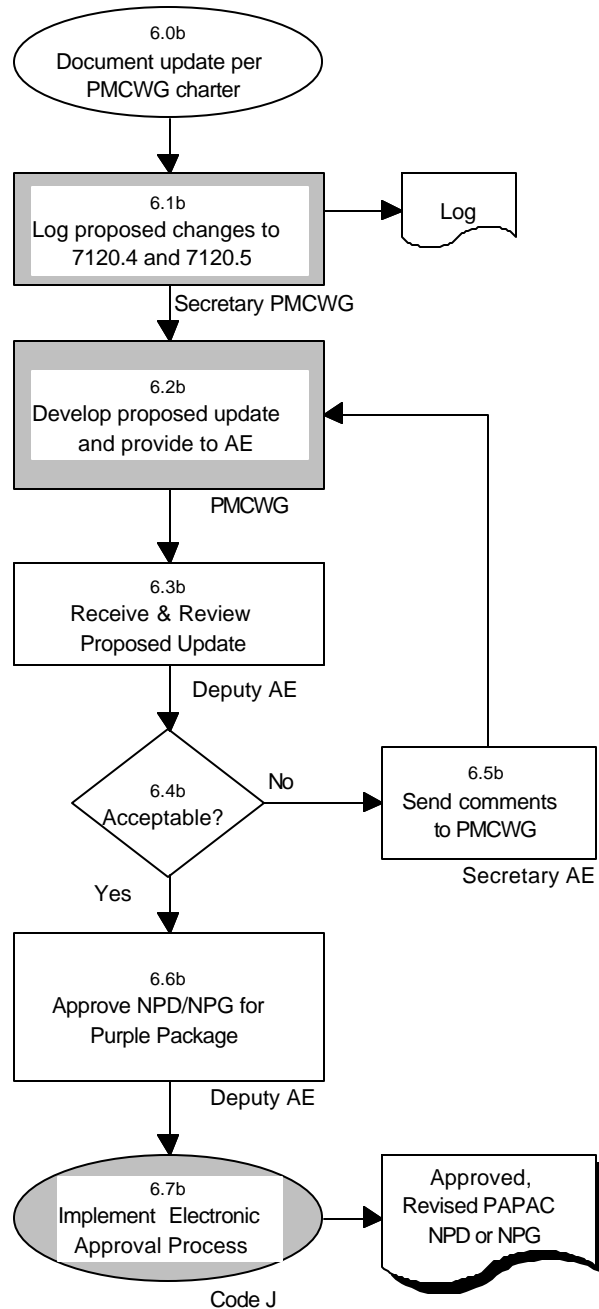
5.0 Flowchart

(a) Update PAPAC Goals & Objectives



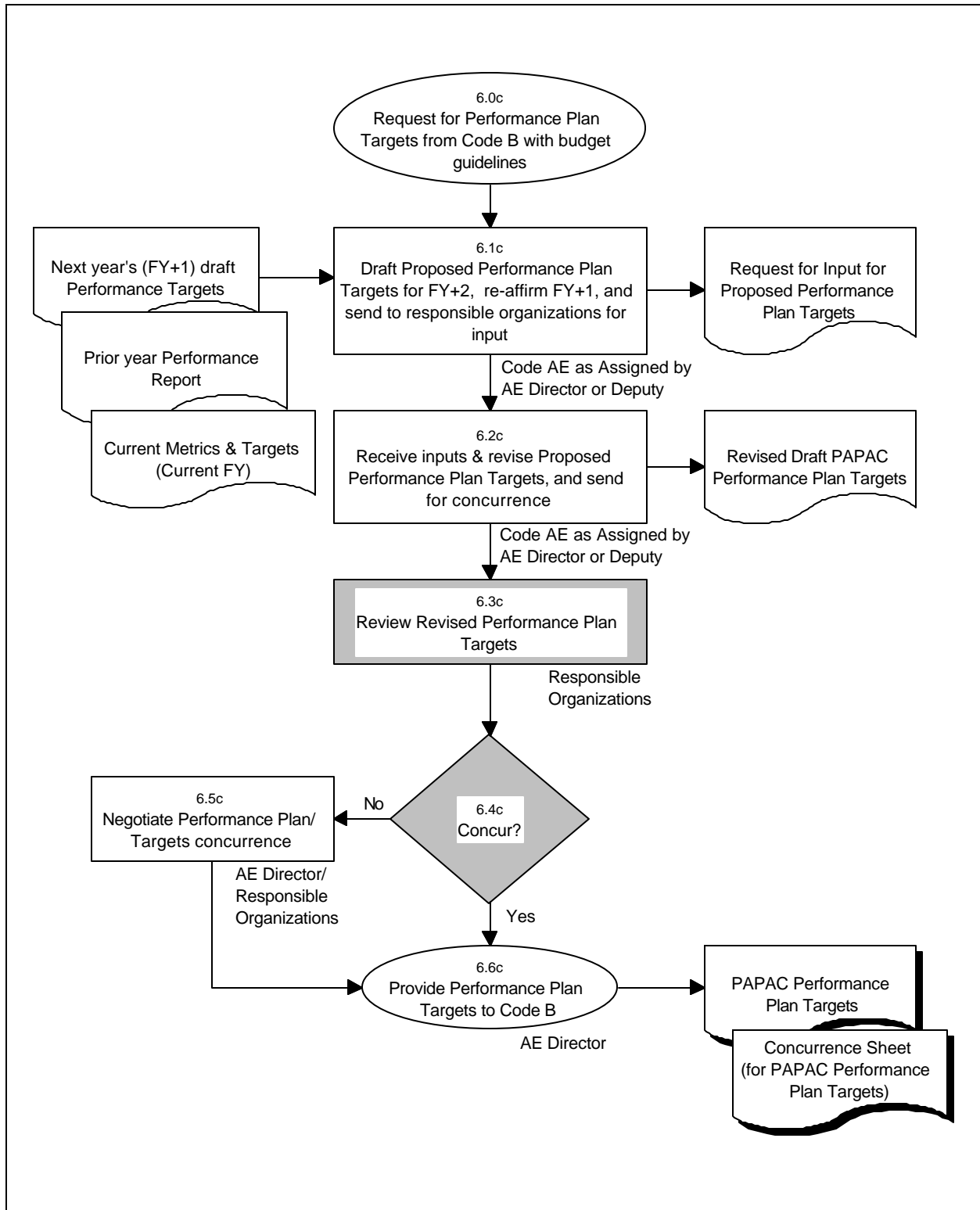
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(b) Revise PAPAC NPD and NPG



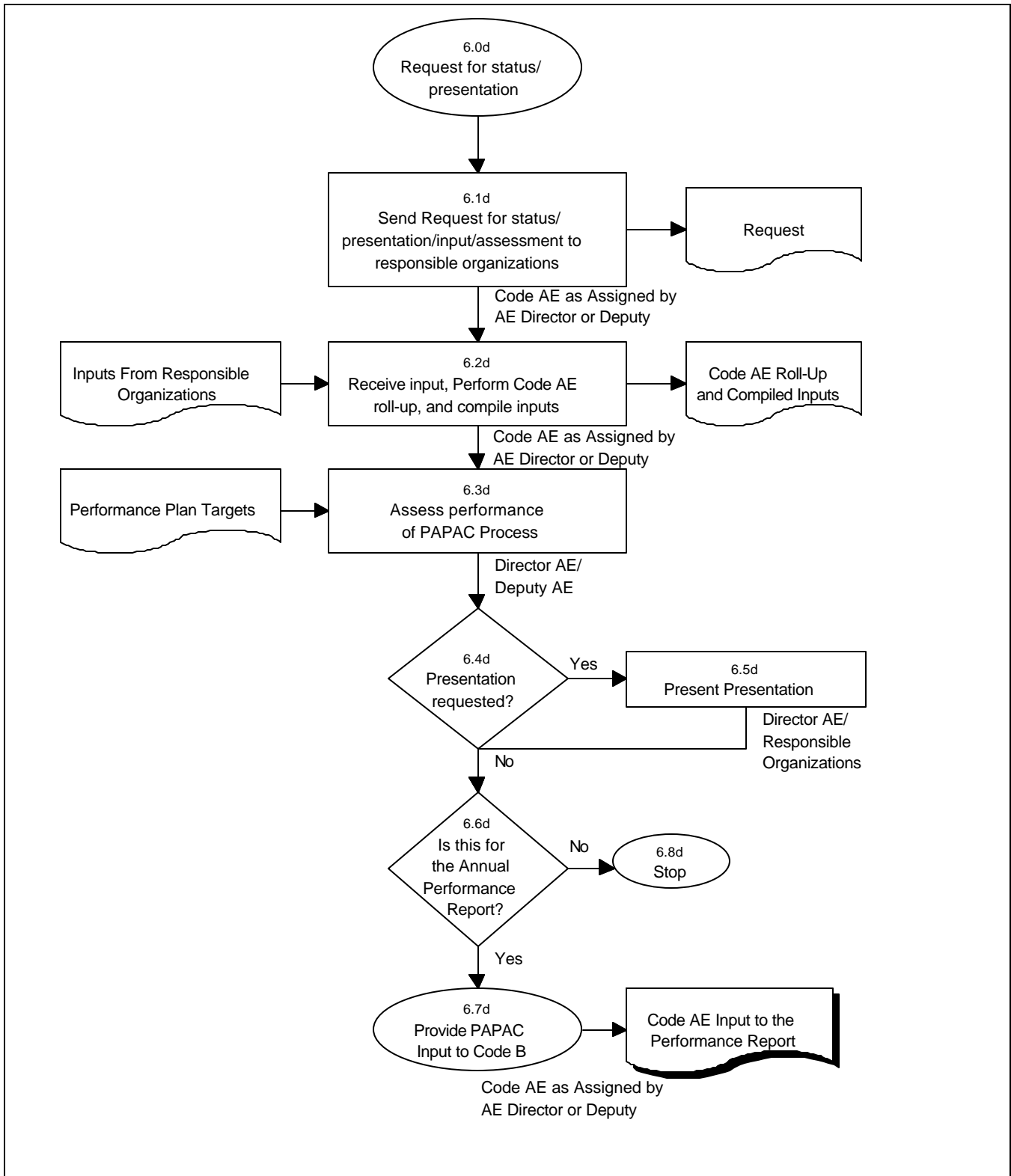
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(c) Develop PAPAC Performance Plan Targets



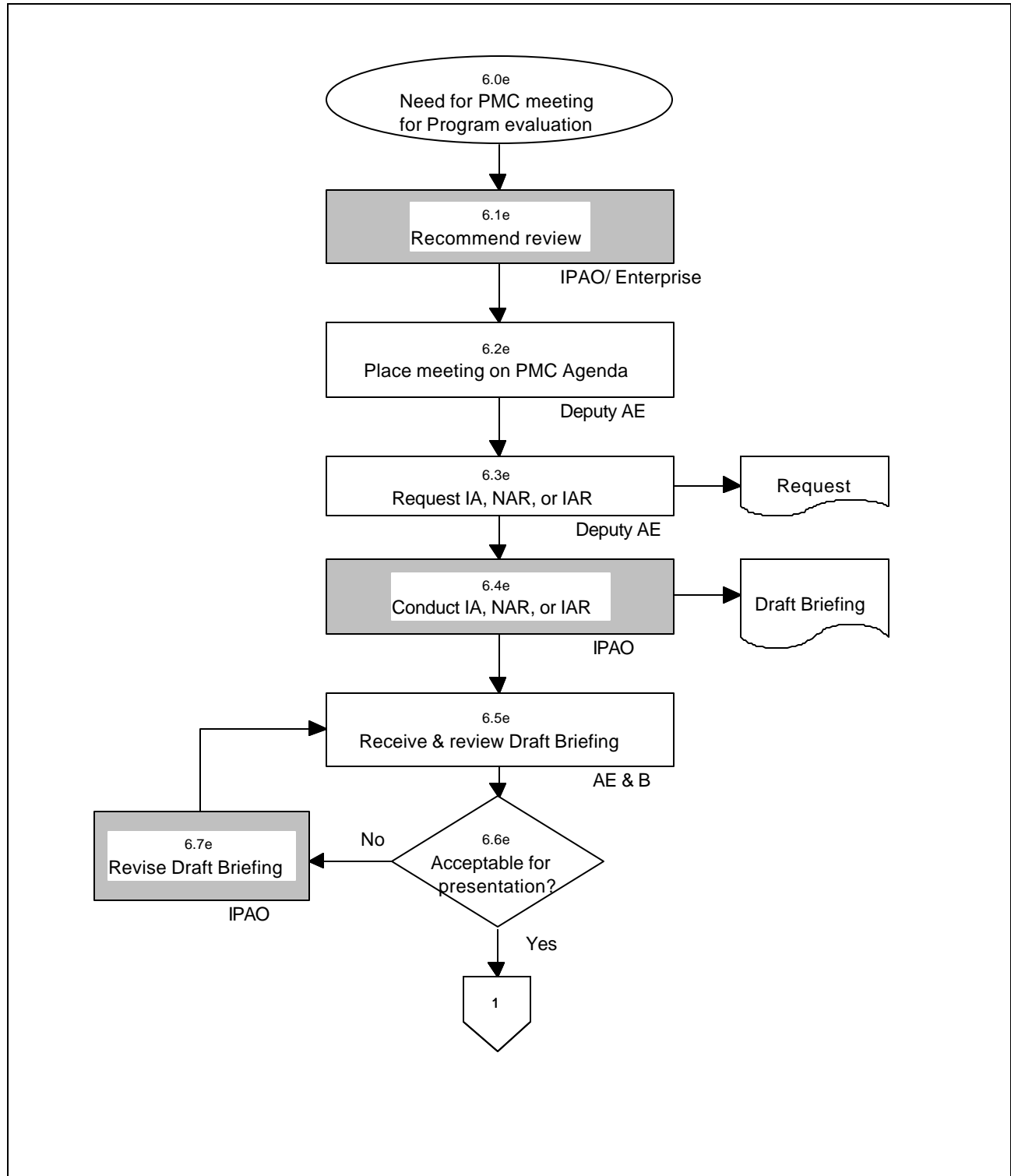
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(d) Performance Reporting



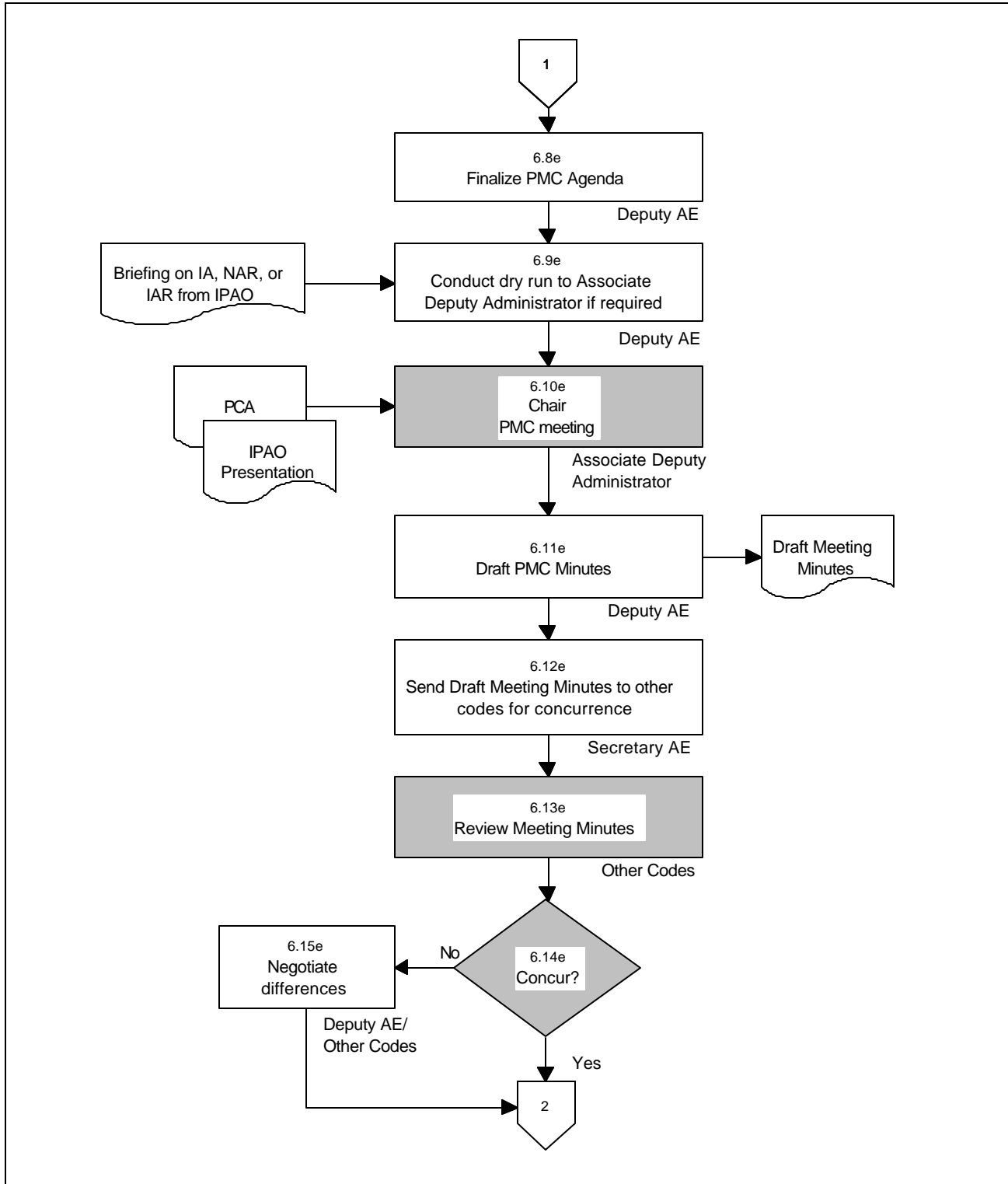
Responsible Office: Code AE/ Office of the Chief Engineer
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(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs



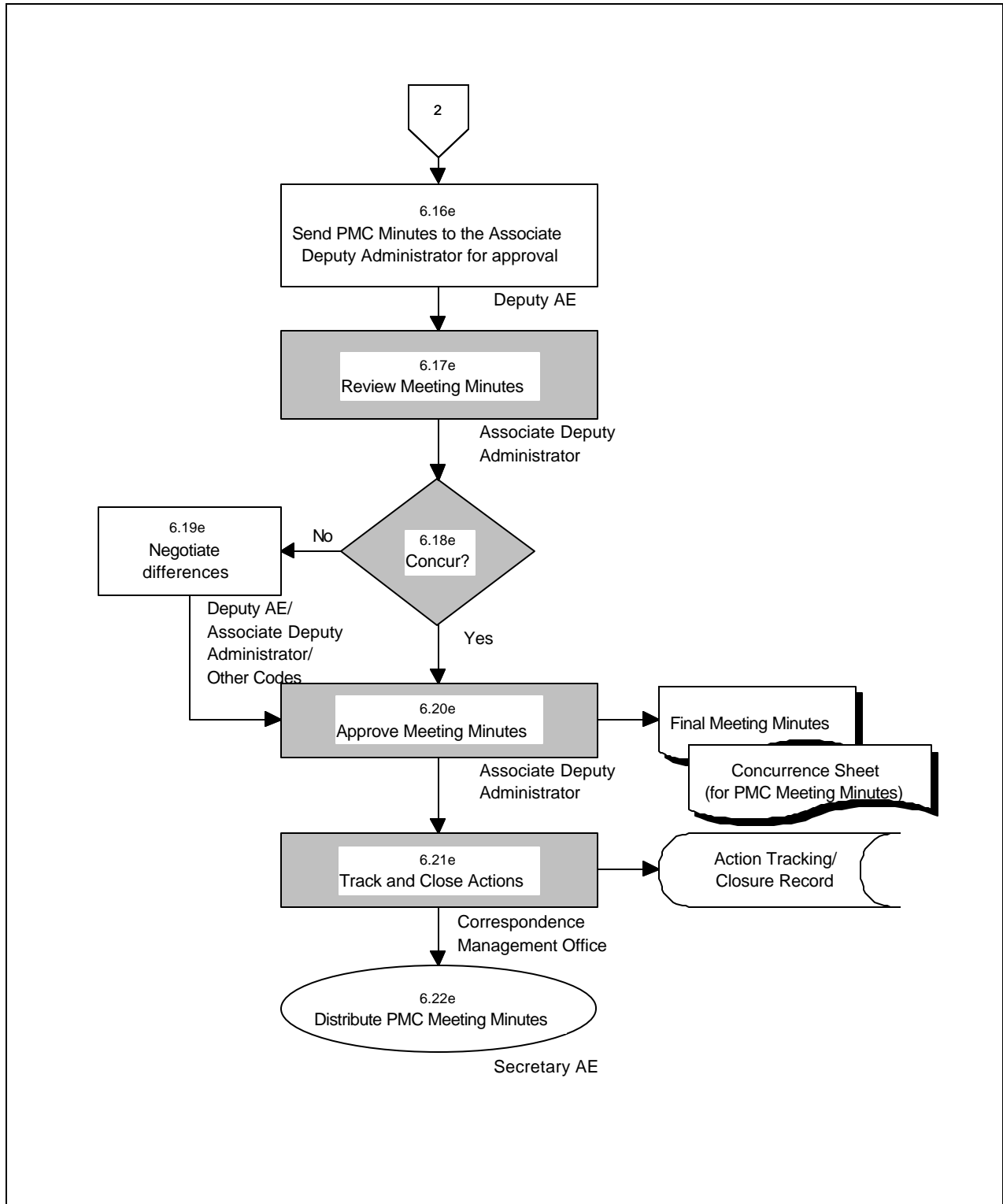
Responsible Office: Code AE/ Office of the Chief Engineer
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(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs - continued



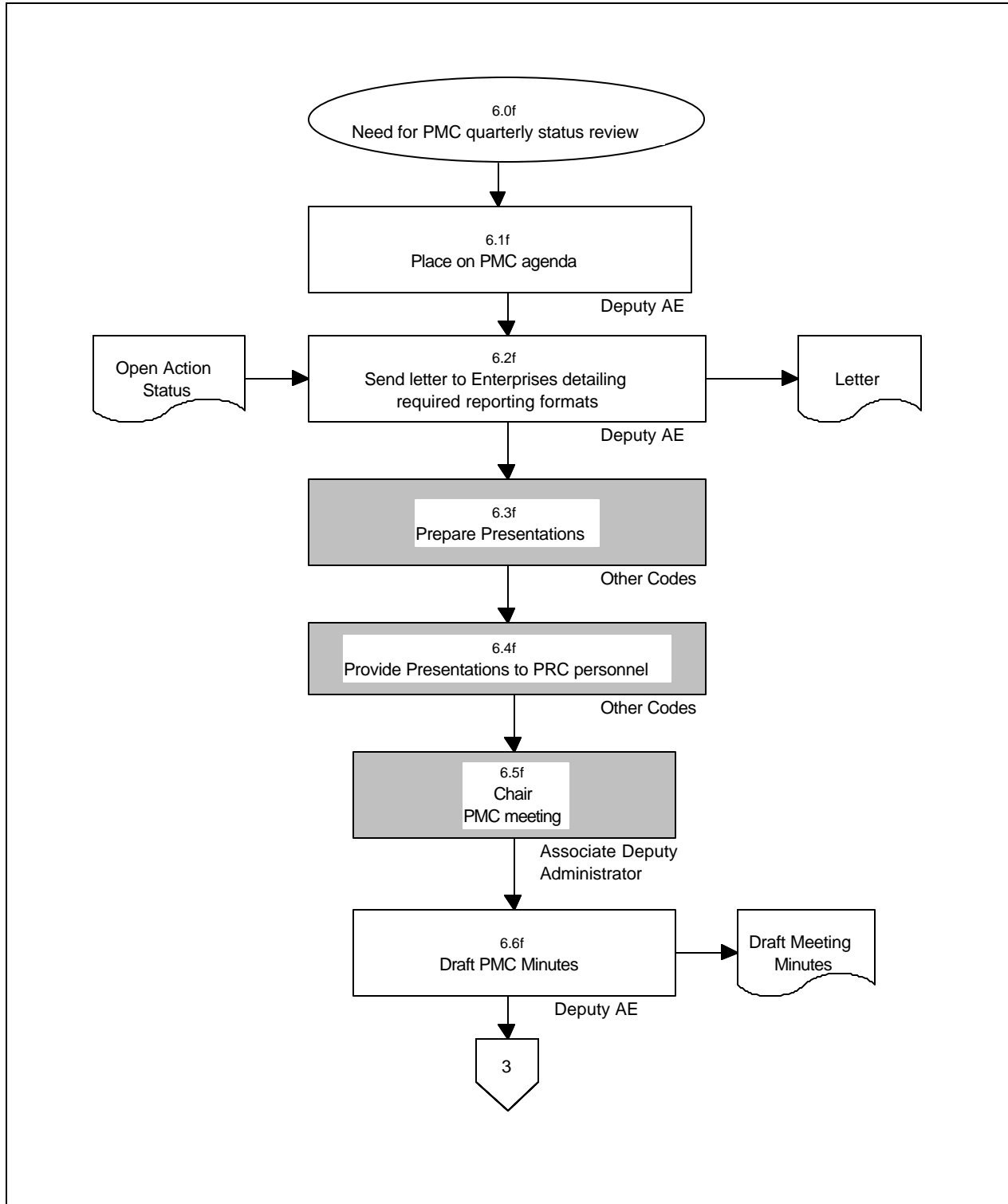
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Subject: Lead & Manage PAPAC Process

(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs - continued



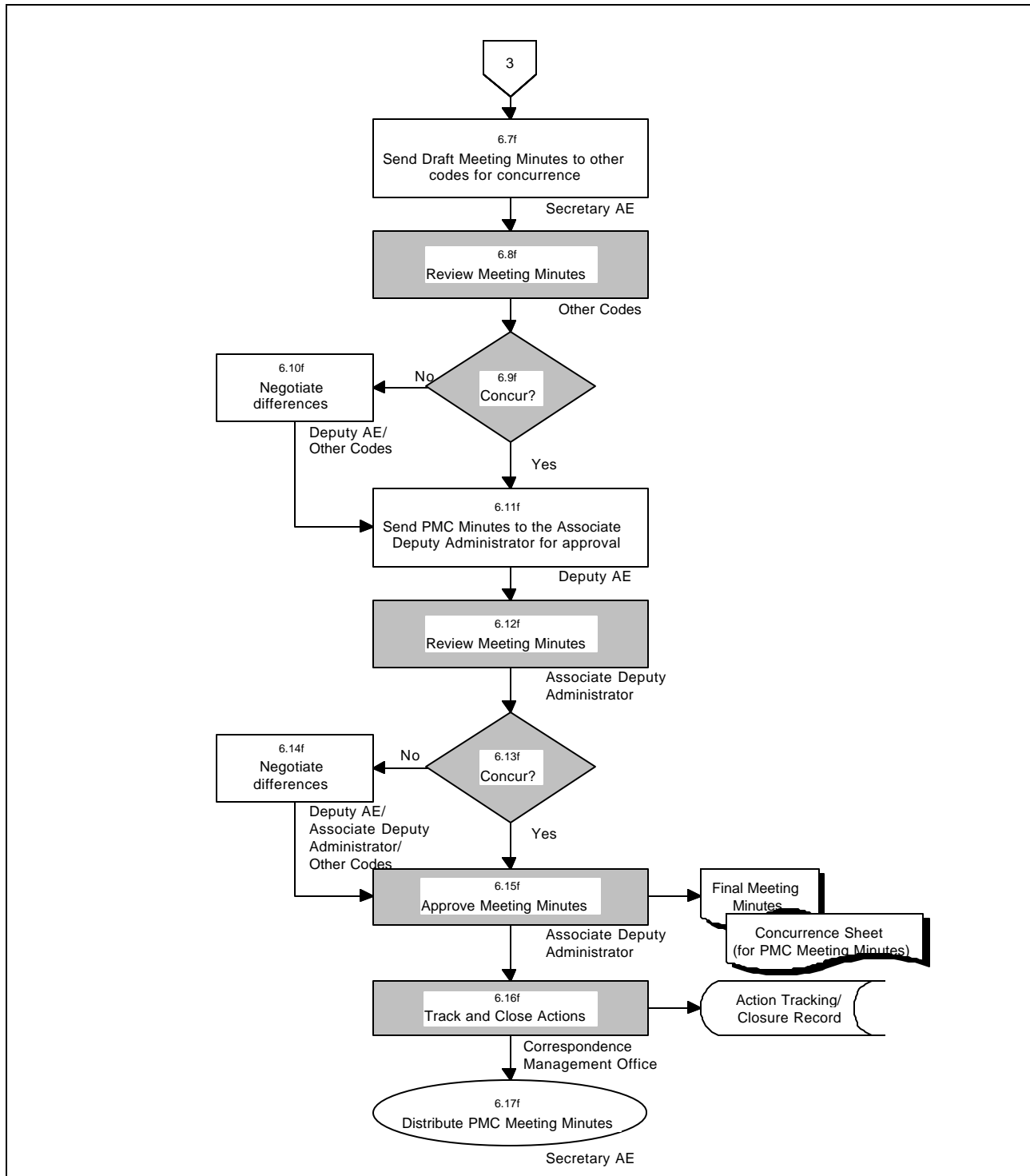
Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

(f) Manage PMC Meetings for Quarterly Status Review



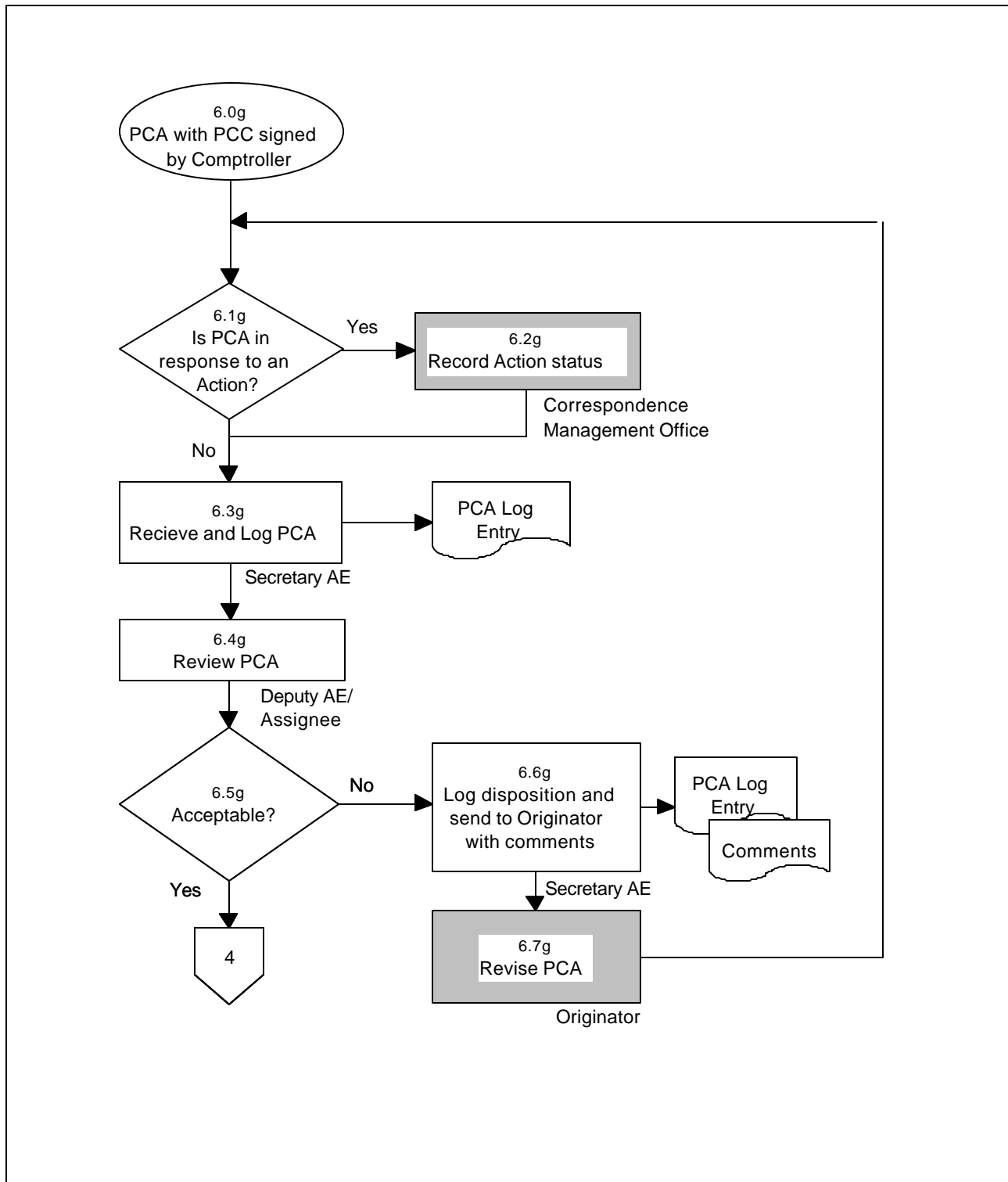
Responsible Office: Code AE/ Office of the Chief Engineer
Subject: Lead & Manage PAPAC Process

(f) Manage PMC Meetings for Quarterly Status Review - continued



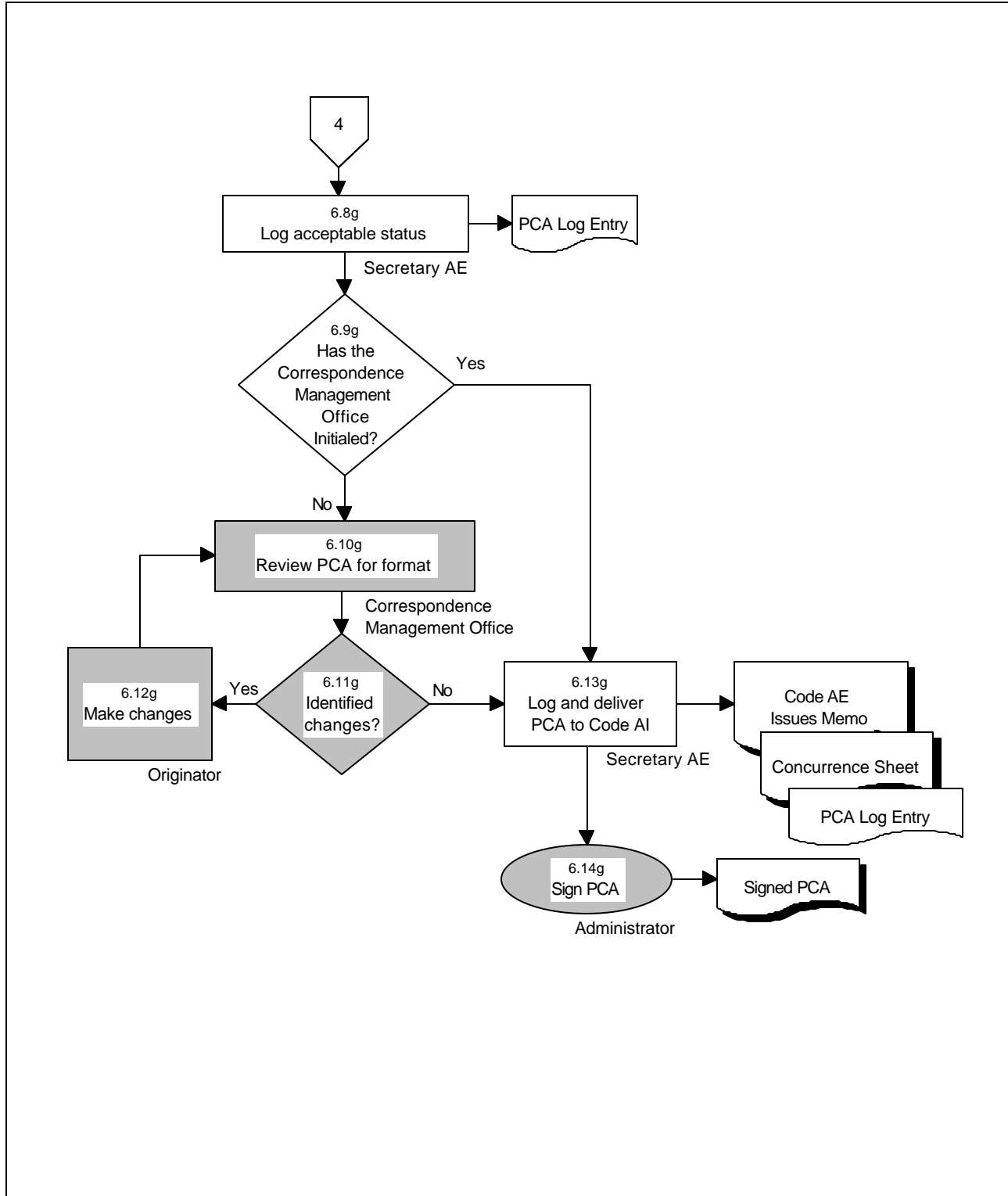
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(g) Review PCAs



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(g) Review PCAs - continued



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6.0 Procedure

(a) Update PAPAC Goals & Objectives

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0a		Receive a letter of request for Updated PAPAC goals & objectives sent by Code Z.
6.1a	Code AE as assigned by Director or Deputy	Review current goals & objectives, along with proposed revised goals & objectives from other codes (assembled and sent to AE by Code Z). Based on these inputs, internal and external influences develop a draft update of the PAPAC goals & objectives.
6.2a	Secretary AE	Send the draft update to Code Z. Code Z then sends draft document to Codes for review and concurrence.
6.3a	Code Z/other Codes	Review the draft update.
6.4a	Code Z /other Codes	Develop comments and concurrence.
6.5a	Director AE/ Code Z Director	Discussion between AE Director and Code Z Director to negotiate concurrence.
6.6a	Code AE as assigned by Director or Deputy	Provide the final update of PAPAC goals and objectives to Code Z. This final version includes any changes developed in the negotiations from Step 6.5a, and is formally sent by the Secretary AE and signed by the AE Director.

(b) Revise PAPAC NPD and NPG

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0b		The PMCWG charter calls for an update of NPD 7120.4 and NPG 7120.5
6.1b	Secretary PMCWG	The Secretary of the PMCWG logs in all proposed changes. These changes may have trickled in over time since the last update.
6.2b	PMCWG	Develop a proposed update, including the proposed changes as input.
6.3b	Deputy AE	Receive and review the proposed update from the PMCWG.
6.4b	Deputy AE	Determine if the proposed update is acceptable.
6.5b	Secretary AE	Send the Deputy AE comments to the PMCWG for them to incorporate into a revised proposed update.
6.6b	Deputy AE	Approve the NPD/NPG for the Purple Package.
6.7b	Code J	Implement Code J Approval process. The result is an Approved, Revised version of the NPG/NPD.

(c) Develop PAPAC Performance Plan Targets

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0c		Code B requests Performance Plan targets for FY+2 and last minute changes to

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
		FY+1. The request is issued with the budget guidelines.
6.1c	Code AE as assigned by AE Director or Deputy	Based on last year's Performance Report, next year's Draft Performance Plan targets and the current year metrics & targets, draft the Proposed Performance Plan targets for FY+2 and develop any necessary changes to FY+1 targets. The secretary AE issues a memo with the proposed targets to the responsible organizations for concurrence, with Director AE signature.
6.2c	Code AE as assigned by AE Director or Deputy	Compile the inputs to Performance Plan target supplied by the responsible organizations, and revise the Performance Plan targets. The secretary AE issues a memo with the revised targets to the responsible organizations for concurrence, with Director AE signature.
6.3c	Responsible Organizations	Review the Revised Draft Performance Plan Targets.
6.4c	Responsible Organizations	Develop comments and concurrence.
6.5c	AE Director/ Responsible Organizations	Discussion between AE Director and responsible organizations to negotiate concurrence. Share with other codes as necessary.
6.6c	AE Director	Provide the PAPAC Performance Plan Targets to Code B. This final version includes any changes developed in the negotiations from Step 6.5c, and is formally sent by the Secretary AE and signed by the AE Director.

(d) Performance Reporting

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0d		A request for status, presentation, input and/or assessment against Performance Plan targets is received from Code B or initiated within Code AE. The material is requested for a variety of purposes, including mid-year status, CIC or SMC presentation, Performance Report
6.1d	Code AE as Assigned by AE Director or Deputy	Send request for performance information to responsible organizations. The secretary AE issues a memo with the request and targets to the responsible organizations for concurrence, with Director AE signature.
6.2d	Code AE as Assigned by AE Director or Deputy	Receive input from responsible organizations. Code AE assigned person performs roll-up of target(s) assigned to AE for roll-up. Code AE assigned person compiles input corresponding to each target.
6.3d	Director AE/ Deputy AE	Assess the performance of the PAPAC Process, by comparing the compiled inputs with the Performance Plan targets.
6.4d	Code AE as Assigned by AE Director or Deputy	A presentation may be requested, such as for CIC review of SMC briefing
6.5d	Director AE/ Responsible Organization	Present the performance information

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.6d	Code AE as Assigned by AE Director or Deputy	If this is for the Annual Performance Report, the PAPAC section is provided to Code B.
6.7d	Code AE as Assigned by AE Director or Deputy	Provide the PAPAC input to Code B in the requested format. A memo is formally sent by the Secretary AE and signed by the AE Director.
6.8d		The process is complete.

(e) Manage PMC Meetings for Program Evaluation: IAs, NARs, IARs

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0e		Each Program/Project/Initiative review process is documented in the PCA. For Programs that report to the HQ PMC, the results of IAs, NARs, and IARs are presented to the PMC.
6.1e	IPAO/ Enterprise	Both the Enterprise and the IPAO recommend the type of review that should be performed (IA, NAR, IAR) to Code AE.
6.2e	Deputy AE	Place the PMC meeting on the Agenda. The Agenda is maintained and distributed by the Secretary AE.
6.3e	Deputy AE	Request IPAO to perform the appropriate review type. This request is a written memo signed by the Deputy AE
6.4e	IPAO	Conduct the requested review. Produce a draft briefing of the review results.
6.5e	Code AE/ Code B	Receive the draft briefing from IPAO and review.
6.6e	Code AE/ Code B	Determine if the draft briefing is acceptable for presentation. If not, send comments to the IPAO for them to revise the briefing.
6.7e	IPAO	Revise the draft briefing based on comments from Code AE and Code B. Negotiate with Code AE and Code B as necessary.
6.8e	Deputy AE	The PMC Agenda is changed if necessary. The Agenda is maintained and distributed by the Secretary AE. If changes are made, the Agenda is redistributed.
6.9e	Deputy AE	Table discussion of presentation viewgraphs with Associate Deputy Administrator
6.10e	Associate Deputy Administrator	Conduct PMC meeting. The PCA and the briefing are presented by the IPAO.
6.11e	Deputy AE	Draft the PMC meeting minutes.
6.12e	Secretary AE	Send draft meeting minutes to other codes for concurrence via memo signed by Deputy AE.
6.13e	Other Codes	Review the meeting minutes.
6.14e	Other Codes	Develop comments and concurrence.
6.15e	Deputy AE/ Other Codes	Discussion between Deputy AE and other Codes to negotiate differences.

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.16e	Deputy AE	Send revised draft PMC minutes and concurrence sheet to the Associate Deputy Administrator for approval.
6.17e	Associate Deputy Administrator	Review the meeting minutes.
6.18e	Associate Deputy Administrator	Develop comments and concurrence.
6.19e	Associate Deputy Administrator/ Deputy AE/ Other Codes	Meet as necessary to discuss the reasons for non-concurrence. Negotiate differences.
6.20e	Associate Deputy Administrator	Sign PMC minutes.
6.21e	Correspondence Management Office	Receive signed PMC minutes. Record actions for tracking and closure in the HATS system (see Code CIC HOWI 14509-C009 for information on the handling of HATS records), and forward to Code AE. PMC action closure and extension requests are verified with the Deputy AE. The Deputy AE follows up on actions and notifies CIC of any changes to the actions/action schedules.
6.22e	Secretary AE	Send to Administrator and Codes.

(f) Manage PMC Meetings for Quarterly Status Review

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0f		The HQ PMC reviews Agency Program/Projects/Initiatives quarterly.
6.1f	Deputy AE	Place the PMC meeting on the Agenda. The Agenda is maintained and distributed by the Secretary AE.
6.2f	Deputy AE or assignee	Approximately 3 weeks prior to the meeting, a memo is sent to the Enterprises detailing the required reporting formats for the upcoming QSR, including the status of open PMC actions.
6.3f	Other Codes	Prepare QSR presentations.
6.4f	Other Codes	Provide presentations on computer disk to Program Review Center.
6.5f	Associate Deputy Administrator	Conduct PMC meeting. Overdue open actions may be addressed by the Associate Deputy Administrator.
6.6f	Deputy AE	Draft the PMC meeting minutes.
6.7f	Secretary AE	Send draft meeting minutes to other codes for concurrence via memo signed by Deputy AE.
6.8f	Other Codes	Review the meeting minutes.
6.9f	Other Codes	Develop comments and concurrence.
6.10f	Deputy AE/ Other Codes	Discussion between Deputy AE and other Codes to negotiate differences.
6.11f	Deputy AE	Send revised draft PMC minutes and concurrence sheet to the Associate Deputy Administrator for approval.
6.12f	Associate Deputy	Review the meeting minutes.

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
	Administrator	
6.13f	Associate Deputy Administrator	Develop comments and concurrence.
6.14f	Associate Deputy Administrator/ Deputy AE/ Other Codes	Meet as necessary to discuss reasons for non-concurrence. Negotiate differences.
6.15f	Associate Deputy Administrator	Sign PMC minutes.
6.16f	Correspondence Management Office	Receive signed PMC minutes. Record actions for tracking and closure in the HATS system (see Code CIC HOWI 14509-C009 for information on the handling of HATS records), and forward to Code AE. PMC action closure and extension requests are verified with the Deputy AE. The Deputy AE follows up on actions and notifies CIC of any changes to the actions/action schedules.
6.17f	Secretary AE	Send to Administrator and Codes.

(g) Review PCAs

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0g		PCA has been generated, signed by the Comptroller, and is ready for review.
6.1g	Secretary AE	Determine if PCA is in response to an Action.
6.2g	Correspondence Management Office	Log status into HATS.
6.3g	Secretary AE	Receive the PCA and log its receipt. This log file is kept by the Secretary AE.
6.4g	Deputy AE, or Assignee	Review the PCA for recommendation for Administrator signature.
6.5g	Deputy AE	Determine that the PCA is acceptable, or develop comments for the originating office.
6.6g	Secretary AE	Log the PCA disposition and send it with comments to the originating office.
6.7g	Originator	Revise the PCA per the comments from the Deputy AE.
6.8g	Secretary AE	Log the acceptable status of the PCA.
6.9g	Secretary AE	Has the Correspondence Management Office initialed the PCA?
6.10g	Correspondence Management Office	Review the PCA for format.
6.11g	Correspondence Management Office	If changes are identified, send change recommendations to the originating office.
6.12g	Originator	Make the changes recommended by the Correspondence Management Office and return the PCA to the Correspondence Management Office for review.
6.13g	Secretary AE	Log and deliver the concurrence sheet and the PCA to Code AI. If changes were made, the Deputy AE or assignee may check these changes. If there are

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
		outstanding issues, include them in a cover memo signed by the Chief Engineer.
6.14g	Administrator	Sign PCA. Head quarters Correspondence Management Office receives and processes the original. Copies are sent to Code AE, Code AI, and the originating office.

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5.0 Quality Records

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media</u>	<u>NPG 1441.1 Schedule and Item Number</u>	<u>Retention/Disposition</u>
Update of PAPAC Goals & Objectives	Sec AE	Code AE File	hardcopy	Schedule 7, Item 4B	Destroy 5 years after supersession or completion.
Approved Revised PAPAC NPD or NPG	Code J	Code J File	hardcopy	Schedule 1, Item 72A	Retire to FRC 1 year after becoming obsolete or superseded. Transfer to NARA in 5 year blocks when 20 years old.
PAPAC Performance Plan Targets	Sec AE	Code AE File	hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Concurrence Sheet (for PAPAC Performance Plan Targets)	Sec AE	Code AE File	hardcopy	Schedule 1, Item 78C	Destroy or delete when no longer needed.
Code AE Input to the Performance Report	Sec AE	Code AE File	hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Final Meeting Minutes (from PMC Meeting)	Sec AE	Code AE File	hardcopy	Schedule 1, Item 14B1a	Retire to FRC when 2 years old. Transfer to NARA when 20 years old, whichever is sooner.
Concurrence Sheet (for PMC Meeting Minutes)	Sec AE	Code AE File	hardcopy	Schedule 1, Item 78C	Destroy or delete when no longer needed.
Code AE Issues Memo	Sec AE	Code AE File	hardcopy	Schedule 1, Item 26	Destroy or delete when no longer needed.
Concurrence Sheet	Sec AE	Code AE File	hardcopy	Schedule 1, Item 78C	Destroy or delete when no longer needed.
Signed PCA	Correspondence Management Office	Correspondence Management Office	hardcopy	Schedule 1, Item 22C	*Permanent* Retire to FRC when five years old.